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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
16580 (PC18184A)

In Re Application: Corinne Elizabeth Augelli-Szafran, et al.

JUN 30 2004

Serial No.  
09/966,534

Filing Date  
September 27, 2001

Examiner  
Amelia A. Owens

Group Art Unit  
1625

**PHENOXAZINE ANALOGS USEFUL AS AMYLOID AGGREGATION INHIBITORS  
AND TREATMENT OF ALZHEIMER'S DISEASE AND DISORDERS  
RELATED TO AMYLOIDOSIS**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☒ A check in the amount of **\$180.00** is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **19-1013/SSMP** as described below.
- ☐ Charge the amount of
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

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Signature of Person Mailing Correspondence

Peter I. Bernstein, Esq.

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\*This certificate may only be used if paying by deposit account.

Signature

Dated: June 28, 2004

Peter I. Bernstein, Esq.  
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PIB/MMR;rjl

CC:

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(Under 37 CFR 1.97(b) or 1.97(c))

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Examiner

Amelia A. Owens

TECH CENTER 1600/2900 Group Art Unit

1625

Title: **PHENOXAZINE ANALOGS USEFUL AS AMYLOID AGGREGATION INHIBITORS  
AND TREATMENT OF ALZHEIMER'S DISEASE AND DISORDERS  
RELATED TO AMYLOIDOSIS**

Address to:

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

1. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☒ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**

☒ the fee set forth in 37 CFR 1.17(p).



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**JUL 06 2004**

**Applicants:** Corinne Elizabeth  
Augelli-Szafran, et al.

**Examiner:** Amelia A. Owens  
TECH CENTER 1600/2903

**Serial No.:** 09/966,534

**Art Unit:** 1625

**Filed:** September 27, 2001

**Docket:** 16580 (PC18184A)

**For:** PHENOXAZINE ANALOGS  
USEFUL AS AMYLOID  
AGGREGATION INHIBITORS  
AND TREATMENT OF ALZHEIMER'S  
DISEASE AND DISORDERS  
RELATED TO AMYLOIDOSIS

**Confirmation No.:** 5264

**Dated:** June 28, 2004

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with 37 C.F.R. §§1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

1. International Publication No. WO 96/30766, published October 3, 1996;
2. International Publication No. WO 00/76969 A1, published December 21, 2000.

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on June 28, 2004

Dated: June 28, 2004

  
Peter I. Bernstein

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3. International Publication No. WO 00/76489 A2, published December 21, 2000; and
4. Wischik, C.M., et al., "Selective Inhibition of Alzheimer Disease-like Tau Aggregation by Phenothiazines", Proc. Natl. Acad. Sci. USA, 93: 11213-11218, (1996).

The references were cited in a Search Report dated January 8, 2002 received from the European Patent Office. Applicants are submitting copies of the above-cited references, together with a copy of the Search Report. The relevance of the above-identified references has been described in the Search Report.

Inasmuch as this Information Disclosure Statement is being submitted in accordance with the schedule set out in 37 C.F.R. § 1.97(c), a check in the amount of \$180.00 is enclosed.

Respectfully submitted,



Peter I. Bernstein

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Form PTO-1449 U.S. DEPARTMENT OF COMMERCE (REV. 7-80) PATENT AND TRADEMARK OFFICE  <b>INFORMATION DISCLOSURE CITATION</b>  <div style="border: 1px solid black; border-radius: 50%; padding: 10px; width: 100px; text-align: center; margin: 10px auto;">             JUN 30 2004              PATENT &amp; TRADEMARK OFFICE           </div>		Atty. Docket No. (Optional)  16580 (PC18184A)		Application Number...  09/966,534  <div style="text-align: right;">JUL 06 2004</div>			
		Applicants Corinne Elizabeth Augelli-Szafran, et al.					
		Filing Date September 27, 2001		Group Art Unit 1625			
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (if appropriate)
	AA						
	AB						
	AC						
	AD						
	AE						
<b>FOREIGN PATENT DOCUMENTS</b>							
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
		96/30766	10/03/96	PCT			YES      NO
		00/76969 A1	12/21/00	PCT			
		00/76489 A2	12/21/00	PCT			
<b>OTHER DOCUMENTS</b> <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
		Wischik, C.M., et al., "Selective Inhibition of Alzheimer Disease-like Tau Aggregation by Phenothiazines", <i>Proc. Natl. Acad. Sci. USA</i> , 93: 11213-11218, (1996)					
EXAMINER			DATE CONSIDERED				
* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							